



#3 IDS w/refs  
4/22/98  
tooley  
PATENT

Applicant(s): John S. Hendricks, et al.

Attorney Docket No.: 5062

Serial No.: 08/958,088

Examiner: Grant, C.

Filed: October 27, 1997

Group: 2602

For: **DIGITAL CABLE HEADEND FOR CABLE TELEVISION  
DELIVERY SYSTEMS**

This application is a continuation of patent application Serial No. 08/160,283, filed on December 2, 1993, which is a continuation-in-part of patent application Serial No. 07/991,074, filed on December 9, 1992.

---

**DISCLOSURE STATEMENT**

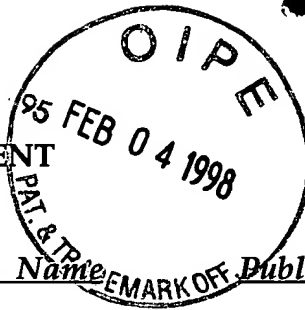
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to Sections 1.56, 1.97 and 1.98 of Title 37 of the Code of Federal Regulations, the following information is set forth in compliance with applicant's duty of disclosure, as well as the duty of others substantively involved in the preparation of the above-referenced application. There is no fee associated with this filing.

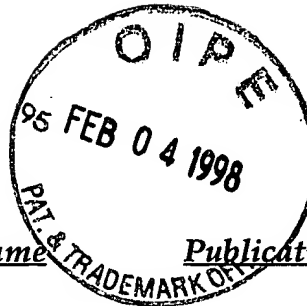
During preparation and prosecution of the above-referenced application, as well as related domestic and foreign applications, the applicant and others substantively involved in the preparation of the application became aware of the following references:

U. S. Application Serial No. 08/958,088  
 INFORMATION DISCLOSURE STATEMENT



<u>Reference Number</u>	<u>Reference Name</u>	<u>Publication Date</u>
(1) US 5,357,276	Banker et al.	October 18, 1994
(2) US 4,712,105	Kohler	December 8, 1987
(3) US 5,253,066	Vogel	October 12, 1993
(4) US 5,130,792	Tindell et al.	July 14, 1992
(5) US 5,152,011	Schwob	September 29, 1992
(6) US 4,996,597	Duffield	February 26, 1991
(7) US 5,341,166	Garr et al.	August 23, 1994
(8) US 4,706,121	Young	November 10, 1987
(9) US 4,928,168	Iwashita	May 22, 1990
(10) US 5,144,663	Kudelski et al.	September 1, 1992
(11) US 5,105,268	Yamanouchi et al.	April 14, 1992
(12) JP 3- 114,375	Fujita	May 15, 1991
(13) DE 3,935,294	Mahmud et al.	April 25, 1991
(14) EP 0 420 123	Fujita et al.	April 3, 1991
(15) JP 62- 24,777	Kawashima	February 2, 1987
(16) JP 1- 130,683	Doumura	May 23, 1989
(17) <i>Memories In My Pocket</i>	Reimer	February 1991
(18) <i>Subscriber Distribution Networks...</i>	Olshansky et al.	November, 1992
(19) <i>Markets and Products Overview</i>	Dinaro et al.	1991
(20) US 4,947,429	Bestler et al.	August 7, 1990
(21) US 5,093,718	Hoarty et al.	March 3, 1992
(22) US 5,046,093	Wachob	September 3, 1991
(23) US 5,020, 129	Martin et al.	May 28, 1991
(24) US 4,792,972	Cook, Jr.	December 20, 1988
(25) US 5,077,607	Johnson et al.	December 31, 1991
(26) US 4,975,951	Bennett	December 4, 1990
(27) US 4,860,379	Schoeneberger et al.	August 22, 1989
(28) US 4,484,217	Block et al.	November 20, 1984
(29) US 5,091,782	Krause et al.	February 25, 1992
(30) US 5,057,917	Shalkauser et al.	October 15, 1991
(31) WO 92/17027	McMullan	October 1, 1992
(32) WO 91/00670	Hallenbeck	January 10, 1991
(33) EP 0 424 648	Wachob	May 2, 1991
(34) EP 0 506 435	Gammie et al.	September 30, 1992
(35) EP 0 402 809	Garza	December 19, 1990

U. S. Application Serial No. 08/958,088  
INFORMATION DISCLOSURE STATEMENT



<u>Reference Number</u>	<u>Reference Name</u>	<u>Publication Date</u>
(36) <i>Hong Kong Enterprise</i>	Advertisement	November 1988
(37) <i>Great Presentations</i>	Advertisement	1987
(38) <i>Consumer Dist.</i>	Advertisement	Fall/Winter 1992
(39) US 5,049,990	Kondo et al.	September 17, 1991
(40) US 4,816,901	Music et al.	March 28, 1989
(41) US 4,688,246	Eilers et al.	August 18, 1987
(42) US 4,949,187	Cohen	August 14, 1990
(43) US 4,995,078	Monslow et al.	February 19, 1991
(44) US 5,027,400	Baji et al.	June 25, 1991
(45) US 5,130,792	Tindell et al.	July 14, 1992
(46) US 5,172,413	Bradley et al.	December 15, 1992
(47) US 5,206,722	Kwan	April 27, 1993
(48) US 5,247,347	Litteral et al.	September 21, 1993
(49) US 5,166,886	Molnar et al.	November 24, 1992
(50) WO 86/01,962	Lucas	March 27, 1986
(51) WO 89/09528	Durden et al.	October 5, 1989
(52) WO 92/21206	Steele et al.	November 26, 1992
(53) WO 90/10988	Russel	September 20, 1990
(54) EP 0 187 961	Hanas et al.	July 23, 1986
(55) <i>Interactive Videotex...</i>	van den Boom	Nov.-Dec. 1986
(56) <i>Digital Compression in Todays...</i>	Moloney	June 6, 1993
(57) <i>Flexible Data Structures...</i>	Bestler	June 6, 1993
(58) US 5,223,924	Strubbe	June 29, 1993
(59) US 5,289,271	Watson	February 22, 1994
(60) US 4,959,810	Darbee et al.	September 25, 1990
(61) US 4,488,179	Krüger et al.	December 11, 1984
(62) US 4,977,455	Young	December 11, 1990
(63) US 5,151,789	Young	September 29, 1992
(64) US D 301,037	Matsuda	May 9, 1989
(65) US D 314,383	Hafner	February 5, 1991
(66) US D 325,581	Schwartz	April 21, 1992
(67) US D 329,238	Grasso et al.	September 8, 1992
(68) US D 331,760	Renk, Jr.	December 15, 1992
(69) JP 01-142,918	Yuka	June 5, 1989
(70) EP 0 355 697	Baji et al	February 28, 1990

U. S. Application Serial No. 08/958,088  
 INFORMATION DISCLOSURE STATEMENT

133

<u>Reference Number</u>	<u>Reference Name</u>	<u>Publication Date</u>
(71) EP 0 425 834	Telettra	May 8, 1991
(72) EP 0 513 763	Hiroshi et al.	November 19, 1992
(73) JP 3- 198 119	Tatatomi	August 29, 1991
(74) <i>Subscription teletext for value added services</i>	Sharpless	August 1985
(75) <i>A Store-and-Forward...</i>	Gelman et al.	June 21, 1991
(76) <i>HP-41C Operating Manual</i>	Hewlett Packard Co.	December, 1982
(77) US 5,015,829	Eilert et al.	May 14, 1991
(78) US 5,202,817	Koenck et al.	April 13, 1993
(79) US 5,253,275	Yurt et al.	October 12, 1993
(80) US 5,283,639	Esch et al.	February 1, 1994
(81) US 5,345,594	Tsuda	September 6, 1994
(82) US 5,416,508	Sakuma et al.	May 16, 1995
(83) US 5,319,707	Wasilewski et al	June 7, 1994
(84) US 5,469,206	Strubbe et al.	November 21, 1995
(85) US 5,483,278	Strubbe et al.	January 9, 1996
(86) US 5,351,075	Herz et al.	September 27, 1994
(87) US 5,481,296	Cragun et al.	January 2, 1996
(88) WO 92/12599	Yurt et al.	July 23, 1992
(89) GB 2,168,227	Baker	June 11, 1986
(90) CA 2,044,574	Anderson et al.	December 14, 1992
(91) Jap Abs 5250106	Kazuyuki	September 28, 1993
(92) Jap Abs 61060150	Yoichi	March 27, 1986
(93) US 4,961,109	Tanaka	October 2, 1990
(94) US 4,829,558	Welsh	May 9, 1989
(95) US 5,133,079	Ballantyne et al.	July 21, 1992
(96) US 5,355,162	Yazolino et al.	October 11, 1994
(97) US 5,182,639	Jutamulia et al.	January 26, 1993
(98) US 5,132,789	Ammon et al.	July 21, 1992
(99) US 4,876,736	Kiewit	October 24, 1989
(100) US 5,293,540	Trani et al.	March 8, 1994
(101) US 5,001,554	Johnson et al.	March 19, 1991
(102) US 5,410,326	Goldstein	April 25, 1995
(103) US 5,047,867	Strubbe et al.	September 10, 1991
(104) EP 243,312	Kudelski	October 28, 1987
(105) WO 93/22877	Hoarty et al.	November 11, 1993
(106) WO 92/21206	Steele et al.	November 26, 1992

U. S. Application Serial No. 08/958,088  
 INFORMATION DISCLOSURE STATEMENT



107

<u>Reference Number</u>	<u>Reference Name</u>	<u>Publication Date</u>
(107) WO 91/00670	Hallenbeck	January 10, 1991
(108) WO 91/03112	De Bey	March 7, 1991
(109) US 5,353,121	Young et al.	October 4, 1994
(110) US 5,414,426	O'Donnell et al.	May 9, 1995
(111) US 5,404,393	Remillard	April 4, 1995
(112) US 5,237,311	Mailey et al.	August 17, 1993
(113) US 5,078,019	Aoki	January 27, 1992
(114) US 5,410,344	Graves et al.	April 25, 1995
(115) US 5,155,591	Wachob	October 13, 1992
(116) US 5,432,542	Thibadeau et al.	July 11, 1995
(117) US 5,036,537	Jeffers et al.	July 30, 1991
(118) US 5,323,240	Amano et al.	June 21, 1994
(119) US 5,367,571	Bowen et al.	November 22, 1994
(120) WO 92/17027	McMullan	October 1, 1992
(121) GB 1,204,190	Mainichi Broadcasting	September 3, 1970
(122) DE 3,423,846	Welland	January 9, 1986
(123) Taiwan Pat.Pub. No. 234223	Yan et al.	November 11, 1994
(124) Taiwan Pat.Pub. No. 236065	Judin	December 11, 1994
(125) US 4,361,848	Poignet et al.	November 30, 1982
(126) US 5,260,778	Kauffman et al.	November 9, 1993
(127) US 3,891,792	Kimura	June 24, 1975
(128) US 5,036,394	Morii et al.	July 30, 1991
(129) US 4,639,225	Washizuka	January 27, 1987
(130) US 4,829,569	Seth-Smith et al.	May 9, 1989
(131) US 4,605,964	Chard	August 12, 1986
(132) US 4,688,218	Bliveau et al.	August 18, 1987
(133) US 5,151,782	Ferraro	September 29, 1992
(134) US 5,206,954	Inoue et al.	April 27, 1993
(135) US 5,343,239	Lappington et al.	August 30, 1994
(136) Taiwan Pat.Pub. No. 235359	Keiichi Taguchi et al.	December 1, 1994
(137) Taiwan Pat. Pub. No. 235358	Glince	December 1, 1994
(138) Taiwan Pat. Pub. No. 236744	Franklin	December 21, 1994
(139) Taiwan Pat.Pub.	Manullan Jr.	Filed April 23, 1992

U. S. Application Serial No. 08/958,088  
INFORMATION DISCLOSURE STATEMENT

<u>Reference Number</u>	<u>Reference Name</u>	<u>Publication Date</u>
No. 238461		
(140) EP 167,237 (App 85303155)	Campbell	January 8, 1986
(141) US 5,327,554	Palazzi, III et al.	July 5, 1994
(142) US 4,724,491	Lambert	February 9, 1988
(143) US 5,375,068	Palmer et al.	December 20, 1994
(144) US 5,216,515	Steele et al.	June 1, 1993
(145) US 5,339,315	Maeda et al.	August 16, 1994
(146) US 4,697,209	Kiewit et al.	September 29, 1987
(147) US 5,481,294	Thomas et al.	January 2, 1996
(148) US 5,473,362	Fitzgerald et al.	December 5, 1995
(149) US 4,965,825	Harvey et al.	October 23, 1990
(150) US 5,150,118	Finkle et al.	September 22, 1992
(151) US 5,479,268	Young et al.	December 26, 1995
(152) EP 149,536 (App 85300190)	Baker	July 24, 1985
(153) EP 158,548 (App 85400467)	Waalboer	October 16, 1985
(154) EP 145,063 (App 84201663)	Van Weezel	June 19, 1985
(155) EP 103,438 (App 83304995)	Barnes et al.	March 21, 1984
(156) WO 92/11713	Gillette	July 9, 1992
(157) US 5,341,474	Gelman et al.	August 23, 1994
(158) US 5,319,455	Hoarty et al.	June 7, 1994
(159) US 5,477,263	O'Callaghan et al.	December 19, 1995
(160) US 5,014,125	Pocock et al.	May 7, 1991
(161) US 5,132,992	Yurt et al.	July 21, 1992
(162) US 4,517,598	Van Valkenburg et al.	May 14, 1985
(163) US 4,587,520	Astle	May 6, 1986
(164) US 5,515,098	Carles	May 7, 1996
(165) US 5,412,416	Nemirofsky	May 2, 1995
(166) US 5,400,401	Wasilewski et al.	March 21, 1995
(167) US 5,285,272	Bradley et al.	February 8, 1994
(168) EP 450,841	Walker et al.	October 9, 1991
(169) JP 62-245167	Unemura	March 31, 1989
(170) EP 399,200 (App 90107108)	Kauffman et al.	November 28, 1990
[US 5,003,591 (corresponding US to #172) Kauffman et al. May 25, 1989**No copy avail.]		
(171) US 5,446,919	Wilkins	August 29, 1995
(172) US 5,442,626	Wei	August 15, 1995
(173) US 5,481,542	Logston et al.	January 2, 1996
(174) US 4,528,643	Freeny, Jr.	July 9, 1985
(175) US 5,644,354	Thompson et al.	July 1, 1997

**U. S. Application Serial No. 08/958,088**  
**INFORMATION DISCLOSURE STATEMENT**

(176) US 5,237,610	Gammie et al.	August 17, 1993
(177) US 4,712,130	Casey	December 8, 1987
(178) US 5,282,028	Johnson et al.	January 25, 1994
(179) US 5,424,770	Schmelzer et al.	June 13, 1995
(180) US 4,694,490	Harvey et al.	September 15, 1987

Reference numbers 34, 49, 55-63, 70-72, 74-75, 77-83, 88-119, 121-122, 125-135, 140-148, 150-167, and 171-173 were disclosed in prior parent application Serial Number 08/160,283 (the '283 application). Copies of these references are not enclosed, pursuant to 37 C.F.R. 1.98 (d). Copies of the remaining references are enclosed (i.e., references 1-33, 35-48, 50-54, 64-69, 73, 76, 84-87, 123-124, 136-139, 149, 168-170, and 174-180).

The Applicant would like to highlight several references for the examiner's attention. References 95, 165, and 166 were cited by the PTO Examiner during the examination of the '283 application in paper #9, mailed on 10/04/96. Reference numbers 18-19 and 71-72 were cited by the PCT examiner during the prosecution of the PCT counterpart of the '283 application. A copy of the PCT search report is enclosed.

**COMMENTS**

A Form PTO-1449 (11 pages) listing the references is attached. Applicant does not admit that all of the above references are prior in time to the effective filing date of this application.

U. S. Application Serial No. 08/958,088  
INFORMATION DISCLOSURE STATEMENT

The present statement reflects the direct knowledge of the undersigned and information disclosed to the undersigned by applicant and others substantively involved in the preparation of the present application pursuant to their duty under section 1.56 of Title 37 of the Code of Federal Regulations.

Applicant requests that these documents be considered by the Examiner and made of record in this file before the first office action.

**No Fee Required**

To the best of applicant's knowledge the information disclosure statement is being submitted prior to the mailing of the First Office Action. Therefore, no fee is required. If any fee is required, the Commissioner is hereby authorized to charge any fee resulting from the filing of this disclosure statement to Deposit Account No. 04-1425. A duplicate copy of this document is submitted for that purpose.

Respectfully submitted,

JOHN S. HENDRICKS, ET AL.

Dated: FEB. 3, 1998

By: 

Aldo Noto  
Registration No. 35,628  
Dorsey & Whitney LLP  
1330 Connecticut Avenue, N.W.  
Suite 200  
Washington, D.C. 20036  
Telephone: (202) 452-6945  
Facsimile: (202) 857-0569